

# **ELECTRONIC APPLICATION INSTRUCTIONS for 2015-NIST-SBIR-01**

## **Required Forms and Documents**

A complete application contains the Technical Proposal elements described in Section 3.02 of the Full Announcement/FFO document and the following forms and documents:

**(1) SF-424, Application for Federal Assistance.** The SF-424 must be signed by an authorized representative of the applicant organization.

SF-424, Item 12, should list the FFO number 2015-NIST-SBIR-01.

For SF-424, Item 21, the list of certifications and assurances is contained in the SF-424B.

**(2) SF-424A, Budget Information – Non-Construction Programs.**

**(3) SF-424B, Assurances - Non-Construction Programs.**

**(4) CD-511, Certification Regarding Lobbying.**

**(5) SF-LLL, Disclosure of Lobbying Activities (if applicable).**

**(6) Technical Proposal,** including forms and documents described in Section 3.02 of the Full Announcement/FFO document.

**(7) Budget Narrative.** There is no set format for the Budget Narrative; however, it should provide a detailed breakdown of each of the object class categories as reflected on the SF-424A. Provide enough information to allow NIST to understand how funds will be used and clearly demonstrate that proposed costs fall within the spending limitations specified in Section 1.03 of the Full Announcement/FFO document. (For Phase I, a minimum of two-thirds of the research and/or analytical effort must be performed by the awardee. The total cost for all consultant fees, facility leases, usage fees, and other subcontract/subaward or purchase agreements may not exceed one-third of the total award.)

The proposed budget should reflect planned costs, but the awardee must charge actual costs to the award consistent with cost principles applicable to the type of awardee in accordance with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements

for Federal Awards at 2 C.F.R. Part 200, which apply to awards in this program. More information is available at <http://go.usa.gov/SBYh> and <http://go.usa.gov/SBg4>. The awardee should have an accounting system that tracks costs per SBIR firm and an allocation plan for activities that may be shared among multiple SBIR firms.

**(8) Indirect Cost Rate Agreement.** If indirect costs are included in the proposed budget, provide a copy of the approved negotiated agreement if this rate was negotiated with a cognizant Federal audit agency. If the rate was not established by a cognizant Federal audit agency, provide a statement to this effect. If the successful applicant includes indirect costs in the budget and has not established an indirect cost rate with a cognizant Federal audit agency, the applicant will be required to obtain such a rate in accordance with the Department of Commerce Financial Assistance Standard Terms and Conditions. A current version of these terms, from December 2014, is available at <http://go.usa.gov/hKbj>.

**(9) SBA Company Registry Form.** SBA maintains and manages a Company Registry at <http://www.sbir.gov/registration> to track ownership and affiliation requirements for all companies applying to the SBIR Program. The SBIR Policy Directive requires each Phase I and Phase II applicant to register in the Company Registry prior to submitting an application. The applicant must save its information from the registration in a .pdf document and attach this document to the SF-424 as described in the paragraph below.

If submitting the application electronically via Grants.gov, items (1) through (5) above are part of the standard application package in Grants.gov and can be completed through the download application process.

**Items (6) through (9) must be completed and attached by clicking on “Add Attachments” found in item 15 of the SF-424, Application for Federal Assistance. This will create a zip file that allows for transmittal of the documents electronically via Grants.gov.**

Applicants should carefully follow specific Grants.gov instructions at [www.grants.gov](http://www.grants.gov) to ensure the attachments will be accepted by the Grants.gov system. **A receipt from Grants.gov indicating an application is received does not provide information about whether attachments have been received.**

If submitting an application by paper, all of the required application documents should be submitted in the order listed above.

**Unique Entity Identifier and System for Award Management (SAM)**

Pursuant to 2 C.F.R. Part 25, applicants and recipients (as the case may be) are required to: (i) be registered in SAM before submitting its application; (ii) provide a valid unique entity identifier in its application; and (iii) continue to maintain an active SAM registration with current information at all times during which it has an active Federal award or an application or plan under consideration by a Federal awarding agency, unless otherwise excepted from these requirements pursuant to 2 C.F.R. § 25.110. NIST will not make a Federal award to an applicant until the applicant has complied with all applicable unique entity identifier and SAM requirements and, if an applicant has not fully complied with the requirements by the time that NIST is ready to make a Federal award pursuant to this FFO, NIST may determine that the applicant is not qualified to receive a Federal award and use that determination as a basis for making a Federal award to another applicant.